

P21796.P01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P21796

Total Pages

Inventor(s) or Application Identifier

Soo Sung LEE

Title: STOCK EXCHANGE SUPPORTING SYSTEM,
METHOD FOR SUPPORTING STOCK EXCHANGE, AND
STORAGE MEDIUM STORING STOCK EXCHANGE
SUPPORTING PROGRAM FOR IMPLEMENTING THE
SAME METHOD

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

APPLICATION ELEMENTS

ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
 - a. ☐ Small Entity Statement(s)
3. ☒ Specification [Total Pages 194]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 25]
5. ☒ Oath or Declaration [Total Pages 3]
 - a. ☒ Newly executed (original or copy) ☐ Unexecuted
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 20 completed)
[Note Box 6 below]
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 5b, is
considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer
Program (Appendix)

9. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☐ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
16. ☒ Figure of Drawing to be published 1
17. ☒ Foreign priority claimed
 - a. ☒ Claim of Priority
 - b. ☒ Certified Copy of Priority Document(s)
18. ☐ Assignee: _____
19. ☐ Other: _____

20. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. _____/_____, filed _____.
Prior application information: Examiner: _____ Group Art Unit: _____

21. ☐ Amend the specification by inserting before the first line the sentence:

This application is a __ continuation-in-part, __ continuation, __ divisional, of Application No. _____/_____, filed _____.

Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM & BERNSTEIN, P.L.C.
1941 Roland Clarke Place
Reston, VA 20191
(703) 716-1191

Date



07055

PATENT TRADEMARK OFFICE

[Page 1 of 1]

Leslie J. Bernstein Reg No
Signature 33,329

Bruce H. Bernstein, Reg. No. 29,027
Typed or Printed Name

FEE TRANSMITTAL		Complete if Known	
		Application Number	Not Yet Assigned
		Filing Date	Concurrently Herewith
		First Named Inventor	Soo Sung LEE
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
TOTAL AMOUNT OF PAYMENT		(\$) 1,954.00	
Attorney Docket Number		P21796	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																																																																																																																																																			
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <u>19-0089</u></p> <p>Deposit Account Name <u>GREENBLUM & BERNSTEIN, P.L.C.</u></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))</p> <p><input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)</p> <p><input checked="" type="checkbox"/> Applicant Claims Small Entity Status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <p style="text-align: center;">FEE CALCULATION (fees effective 12/29/99)</p> <p>1. FILING FEE</p> <table style="width:100%;"> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <td>101</td> <td>740</td> <td>201</td> <td>370</td> <td>Utility filing fee</td> <td><u>\$370.00</u></td> </tr> <tr> <td>106</td> <td>330</td> <td>206</td> <td>165</td> <td>Design filing fee</td> <td>_____</td> </tr> <tr> <td>107</td> <td>510</td> <td>207</td> <td>255</td> <td>Plant filing fee</td> <td>_____</td> </tr> <tr> <td>108</td> <td>740</td> <td>208</td> <td>370</td> <td>Reissue filing fee</td> <td>_____</td> </tr> <tr> <td>114</td> <td>160</td> <td>214</td> <td>80</td> <td>Provisional filing fee</td> <td>_____</td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (1)</td> <td>(\$)<u>370.00</u></td> </tr> </table> <p>2. CLAIMS</p> <table style="width:100%;"> <tr> <td>Total Claims</td> <td><u>196</u></td> <td>-20=</td> <td><u>176</u></td> <td>Extra</td> <td><u>9</u></td> <td>Fee from below</td> <td><u>42</u></td> <td>=</td> <td><u>\$1,584.00</u></td> </tr> <tr> <td>Independent Claims</td> <td><u>3</u></td> <td>-3=</td> <td><u>0</u></td> <td></td> <td></td> <td></td> <td></td> <td>=</td> <td><u>0.00</u></td> </tr> <tr> <td>Multiple Dependent Claims</td> <td></td> <td></td> <td></td> <td>x</td> <td><u>280</u></td> <td></td> <td></td> <td>=</td> <td><u>0</u></td> </tr> </table> <table style="width:100%;"> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td>_____</td> </tr> <tr> <td>102</td> <td>84</td> <td>202</td> <td>42</td> <td>Independent claims in excess of 3</td> <td>_____</td> </tr> <tr> <td>104</td> <td>280</td> <td>204</td> <td>140</td> <td>Multiple dependent claim</td> <td>_____</td> </tr> <tr> <td>109</td> <td>84</td> <td>209</td> <td>42</td> <td>Reissue independent claims over original patent</td> <td>_____</td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>Reissue claims in excess of 20 and over original patent</td> <td>_____</td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (2)</td> <td>(\$)<u>1584.00</u></td> </tr> </table>		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee	<u>\$370.00</u>	106	330	206	165	Design filing fee	_____	107	510	207	255	Plant filing fee	_____	108	740	208	370	Reissue filing fee	_____	114	160	214	80	Provisional filing fee	_____	SUBTOTAL (1)					(\$)<u>370.00</u>	Total Claims	<u>196</u>	-20=	<u>176</u>	Extra	<u>9</u>	Fee from below	<u>42</u>	=	<u>\$1,584.00</u>	Independent Claims	<u>3</u>	-3=	<u>0</u>					=	<u>0.00</u>	Multiple Dependent Claims				x	<u>280</u>			=	<u>0</u>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20	_____	102	84	202	42	Independent claims in excess of 3	_____	104	280	204	140	Multiple dependent claim	_____	109	84	209	42	Reissue independent claims over original patent	_____	110	18	210	9	Reissue claims in excess of 20 and over original patent	_____	SUBTOTAL (2)					(\$)<u>1584.00</u>	<p>3. ADDITIONAL FEES</p> <table style="width:100%;"> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td>_____</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td>_____</td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td>_____</td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for reexamination</td> <td>_____</td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR Prior to Examiner action</td> <td>_____</td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td>_____</td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for response within 1st month</td> <td>_____</td> </tr> <tr> <td>116</td> <td>400</td> <td>216</td> <td>200</td> <td>Extension for response within 2nd month</td> <td>_____</td> </tr> <tr> <td>117</td> <td>920</td> <td>217</td> <td>460</td> <td>Extension for response within 3rd month</td> <td>_____</td> </tr> <tr> <td>118</td> <td>1,440</td> <td>218</td> <td>720</td> <td>Extension for response within 4th month</td> <td>_____</td> </tr> <tr> <td>128</td> <td>1,960</td> <td>228</td> <td>980</td> <td>Extension for response within 5th month</td> <td>_____</td> </tr> <tr> <td>119</td> <td>320</td> <td>219</td> <td>160</td> <td>Notice of Appeal</td> <td>_____</td> </tr> <tr> <td>120</td> <td>320</td> <td>220</td> <td>160</td> <td>Filing a brief in support of an appeal</td> <td>_____</td> </tr> <tr> <td>121</td> <td>280</td> <td>221</td> <td>140</td> <td>Request for oral hearing</td> <td>_____</td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td>_____</td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive unavoidably abandoned application</td> <td>_____</td> </tr> <tr> <td>141</td> <td>1,280</td> <td>241</td> <td>640</td> <td>Petition to revive unintentionally abandoned application</td> <td>_____</td> </tr> <tr> <td>142</td> <td>1,280</td> <td>242</td> <td>640</td> <td>Utility issue fee (or reissue)</td> <td>_____</td> </tr> <tr> <td>143</td> <td>460</td> <td>243</td> <td>230</td> <td>Design issue fee</td> <td>_____</td> </tr> <tr> <td>144</td> <td>620</td> <td>244</td> <td>310</td> <td>Plant issue fee</td> <td>_____</td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td>_____</td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td>_____</td> </tr> <tr> <td>126</td> <td>180</td> <td>126</td> <td>180</td> <td>Submission of IDS</td> <td>_____</td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>_____</td> </tr> <tr> <td>146</td> <td>740</td> <td>246</td> <td>370</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td>_____</td> </tr> <tr> <td>149</td> <td>740</td> <td>249</td> <td>370</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td>_____</td> </tr> <tr> <td>179</td> <td>740</td> <td>279</td> <td>370</td> <td>Request for Continued Examination (RCE)</td> <td>_____</td> </tr> <tr> <td>169</td> <td>900</td> <td>169</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td>_____</td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td>_____</td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td>_____</td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (3)</td> <td>(\$)<u>0.00</u></td> </tr> </table> <p>*Reduced by Basic Filing Fee paid</p>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	_____	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____	139	130	139	130	Non-English specification	_____	147	2,520	147	2,520	For filing a request for reexamination	_____	112	920*	112	920*	Requesting publication of SIR Prior to Examiner action	_____	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____	115	110	215	55	Extension for response within 1st month	_____	116	400	216	200	Extension for response within 2nd month	_____	117	920	217	460	Extension for response within 3rd month	_____	118	1,440	218	720	Extension for response within 4th month	_____	128	1,960	228	980	Extension for response within 5th month	_____	119	320	219	160	Notice of Appeal	_____	120	320	220	160	Filing a brief in support of an appeal	_____	121	280	221	140	Request for oral hearing	_____	138	1,510	138	1,510	Petition to institute a public use proceeding	_____	140	110	240	55	Petition to revive unavoidably abandoned application	_____	141	1,280	241	640	Petition to revive unintentionally abandoned application	_____	142	1,280	242	640	Utility issue fee (or reissue)	_____	143	460	243	230	Design issue fee	_____	144	620	244	310	Plant issue fee	_____	122	130	122	130	Petitions to the Commissioner	_____	123	50	123	50	Petitions related to provisional applications	_____	126	180	126	180	Submission of IDS	_____	581	40	581	40	Recording each patent assignment per property (times number of properties)	_____	146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	_____	149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	_____	179	740	279	370	Request for Continued Examination (RCE)	_____	169	900	169	900	Request for expedited examination of a design application	_____	Other fee (specify) _____					_____	Other fee (specify) _____					_____	SUBTOTAL (3)					(\$)<u>0.00</u>
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																																															
101	740	201	370	Utility filing fee	<u>\$370.00</u>																																																																																																																																																																																																																																																																																																															
106	330	206	165	Design filing fee	_____																																																																																																																																																																																																																																																																																																															
107	510	207	255	Plant filing fee	_____																																																																																																																																																																																																																																																																																																															
108	740	208	370	Reissue filing fee	_____																																																																																																																																																																																																																																																																																																															
114	160	214	80	Provisional filing fee	_____																																																																																																																																																																																																																																																																																																															
SUBTOTAL (1)					(\$)<u>370.00</u>																																																																																																																																																																																																																																																																																																															
Total Claims	<u>196</u>	-20=	<u>176</u>	Extra	<u>9</u>	Fee from below	<u>42</u>	=	<u>\$1,584.00</u>																																																																																																																																																																																																																																																																																																											
Independent Claims	<u>3</u>	-3=	<u>0</u>					=	<u>0.00</u>																																																																																																																																																																																																																																																																																																											
Multiple Dependent Claims				x	<u>280</u>			=	<u>0</u>																																																																																																																																																																																																																																																																																																											
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																																															
103	18	203	9	Claims in excess of 20	_____																																																																																																																																																																																																																																																																																																															
102	84	202	42	Independent claims in excess of 3	_____																																																																																																																																																																																																																																																																																																															
104	280	204	140	Multiple dependent claim	_____																																																																																																																																																																																																																																																																																																															
109	84	209	42	Reissue independent claims over original patent	_____																																																																																																																																																																																																																																																																																																															
110	18	210	9	Reissue claims in excess of 20 and over original patent	_____																																																																																																																																																																																																																																																																																																															
SUBTOTAL (2)					(\$)<u>1584.00</u>																																																																																																																																																																																																																																																																																																															
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																																															
105	130	205	65	Surcharge - late filing fee or oath	_____																																																																																																																																																																																																																																																																																																															
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____																																																																																																																																																																																																																																																																																																															
139	130	139	130	Non-English specification	_____																																																																																																																																																																																																																																																																																																															
147	2,520	147	2,520	For filing a request for reexamination	_____																																																																																																																																																																																																																																																																																																															
112	920*	112	920*	Requesting publication of SIR Prior to Examiner action	_____																																																																																																																																																																																																																																																																																																															
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____																																																																																																																																																																																																																																																																																																															
115	110	215	55	Extension for response within 1st month	_____																																																																																																																																																																																																																																																																																																															
116	400	216	200	Extension for response within 2nd month	_____																																																																																																																																																																																																																																																																																																															
117	920	217	460	Extension for response within 3rd month	_____																																																																																																																																																																																																																																																																																																															
118	1,440	218	720	Extension for response within 4th month	_____																																																																																																																																																																																																																																																																																																															
128	1,960	228	980	Extension for response within 5th month	_____																																																																																																																																																																																																																																																																																																															
119	320	219	160	Notice of Appeal	_____																																																																																																																																																																																																																																																																																																															
120	320	220	160	Filing a brief in support of an appeal	_____																																																																																																																																																																																																																																																																																																															
121	280	221	140	Request for oral hearing	_____																																																																																																																																																																																																																																																																																																															
138	1,510	138	1,510	Petition to institute a public use proceeding	_____																																																																																																																																																																																																																																																																																																															
140	110	240	55	Petition to revive unavoidably abandoned application	_____																																																																																																																																																																																																																																																																																																															
141	1,280	241	640	Petition to revive unintentionally abandoned application	_____																																																																																																																																																																																																																																																																																																															
142	1,280	242	640	Utility issue fee (or reissue)	_____																																																																																																																																																																																																																																																																																																															
143	460	243	230	Design issue fee	_____																																																																																																																																																																																																																																																																																																															
144	620	244	310	Plant issue fee	_____																																																																																																																																																																																																																																																																																																															
122	130	122	130	Petitions to the Commissioner	_____																																																																																																																																																																																																																																																																																																															
123	50	123	50	Petitions related to provisional applications	_____																																																																																																																																																																																																																																																																																																															
126	180	126	180	Submission of IDS	_____																																																																																																																																																																																																																																																																																																															
581	40	581	40	Recording each patent assignment per property (times number of properties)	_____																																																																																																																																																																																																																																																																																																															
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	_____																																																																																																																																																																																																																																																																																																															
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	_____																																																																																																																																																																																																																																																																																																															
179	740	279	370	Request for Continued Examination (RCE)	_____																																																																																																																																																																																																																																																																																																															
169	900	169	900	Request for expedited examination of a design application	_____																																																																																																																																																																																																																																																																																																															
Other fee (specify) _____					_____																																																																																																																																																																																																																																																																																																															
Other fee (specify) _____					_____																																																																																																																																																																																																																																																																																																															
SUBTOTAL (3)					(\$)<u>0.00</u>																																																																																																																																																																																																																																																																																																															

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name		Bruce H. Bernstein		Reg. Number	
Signature		<i>[Signature]</i>		29,027	
Date		12/14/01		Deposit Account User ID	
		33,329			